

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#5

Application of:

: Atty. Docket: CH920000010US1

Riordan et al.

:

Serial No.: 09/821,584

: Art Unit:

Filed: March 29, 2001

: Examiner:

For: System, method and software for supplying activation information to a subsystem

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

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Technology Center 2100

Sir:

For insuring compliance with the applicant's duty of disclosure under 37 CFR § 1.56, the undersigned hereby submits the documents listed on the attached Form PTO-1449 for consideration by the Examiner in charge of the above-identified patent application.

The listing of these materials is not to be construed as an admission that such is actually prior art with respect to the invention of the present application and is not to be construed that such is material with respect to the present invention.

These documents are being submitted (check only one of the next four boxes):

- ☐ within three months of the filing of the above U.S. national application or of the date of entry of the U.S. national stage in an International Patent Application (no fee is due);
- ☒ before receiving a first Office Action on the merits of the above-identified patent application (no fee is due);
- ☐ following receipt of a first Office Action, but before issuance of a Final Office Action or a Notice of Allowance (if this Box is checked, the fee box and one of the last two boxes also must be checked);

OR

- ☐ following receipt of a Notice of Allowance or a Final Office Action (if this box is checked, the next box and one of the last two boxes also must be checked).

Serial Number: 09/821,584

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FEE

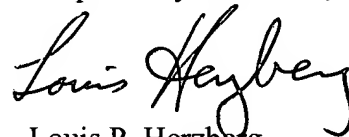
- [ ] Charge our Deposit Account No. 09-0468 the amount of \$180.00, in payment of the fee set forth in 37 CFR § 1.17(p).

CERTIFICATION

- [ ] The undersigned certifies that each item of this information is being submitted within three months of the date it was first cited in any communication from a foreign patent office in a counterpart foreign application.
- [ ] The undersigned certifies that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this information disclosure statement.

The Director is hereby authorized to charge payment of any deficiency in the above fee(s) or to charge any additional fees required under 37 CFR § 1.16 or 1.17 or credit any overpayment to Deposit Account No. 09-0468. A duplicate copy of this authorization is attached for the Finance Branch.

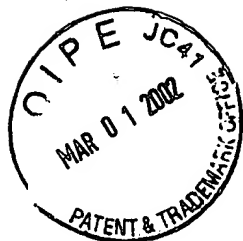
Respectfully submitted,



Louis P. Herzberg  
IBM Corp. IP Law Dept.  
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Date: February 20, 2002

Serial Number: 09/821,584



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: : Atty. Docket: CH920000010US1

Riordan et al. : Confirmation No.: 3499

Serial No.: 09/821,584 : Art Unit: ~~3722~~ 2131

Filed: March 29, 2001 : Examiner:

For: System, method and software for supplying activation information to a subsystem

Commissioner for Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)**

I hereby certify that the attached correspondence comprising:

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Information Disclosure Statement  
PTO 1449 Form with references

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is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

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on February 20, 2002

Margaret McCabe

  
(Signature of person mailing paper)

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.

SERIAL NO.

CH920000010US1

09/821,584

**LIST OF PATENTS AND PUBLICATIONS  
FOR APPLICANT'S INFORMATION  
DISCLOSURE STATEMENT**

APPLICANT: Riordan et al.

(Use several sheets if necessary)

FILING DATE:  
March 29, 2001

GROUP:

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
	AA					
	AB					
	AC					
	AD					
	AE					
	AF					
	AG					
	AH					
	AI					
	AJ					
	AK					

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## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	AL EP 1061432A2	20.12.2000	Europe				
	AM EP 0077950A1	18.06.1985	Europe				
	AN WO 01/42889A2	14.06.2001	PCT				
	AO WO 00/62232A1	19.10.2000	PCT				
	AP WO 99/57863A1	02.08.2001	PCT				

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	AQ	
	AR	
	AS	
	AT	
	AU	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.